

UNITED STATES DISTRICT COURT
WESTERN DISTRICT OF LOUISIANA
LAFAYETTE DIVISION

SECURITIES & EXCHANGE COMMISSION CIVIL ACTION NO. 6:18-CV-01229

VERSUS

JUDGE JUNEAU

WORLD TREE FINANCIAL L L C ET AL

MAGISTRATE JUDGE WHITEHURST

MINUTES OF COURT - PRETRIAL CONFERENCE¹

A pretrial conference was held by video conference before the Hon. Michael J. Juneau on October 22, 2020 at 1:00 p.m. Participating in the conference along with the undersigned were Joshua Mayes, Jason Reinsch, Lynn Dean, Michael Sew Hoy, Amy Longo, and Karen King on behalf of Plaintiff - Securities & Exchange Commission [“SEC”]; and Buzz Durio, Travis Broussard and Lauren Maurer on behalf of Defendants.

After noting that the Court had already reviewed the memoranda and evidence filed by the parties and the applicable law, the Court heard oral arguments of counsel on the motions before the Court, and for reasons orally assigned:

¹ Court time – 1 hour, 15 min.; Court Reporter – Cathleen Marquardt

1. the Court found there were genuine issues a fact precluding summary judgment and **DENIED** the Motion for Partial Summary Judgment filed by SEC, Rec. Doc. [57];
2. the Court found that the issues in the motion related to weight of the evidence rather than admissibility and **DENIED** the Motion in Limine to Exclude the Testimony of Defendants' Expert Charles Theriot filed by SEC, Rec. Doc. [56];
3. the Court **GRANTED IN PART AND DENIED IN PART** the Motion to Conduct Trial by Video Conference filed by the SEC, Rec. Doc. [62], stating that Dr. Niden, Grant Moore and Valerie Bell will be allowed to testify remotely and that the SEC attorneys who are not conducting the trial may monitor the trial remotely; and
4. the Court **GRANTED** the unopposed Motion for Request for Judicial Notice of the publicly reported S&P 500 index performance, Rec. Doc. [72].

. In addition, the Court **DENIED** Defendant's Oral Motion to exclude the testimony of Grant Moore but **GRANTED** Defendant's request to depose Grant Moore before trial.

Finally, the Court requested that the attorneys arrive at 9:00 a.m. Monday, November 2, 2020. Although opening statements will not be heard, the attorney's may give closing summaries at the conclusion of trial.

THUS DONE AND SIGNED in Lafayette, Louisiana, on this 27th day of October, 2020.

A handwritten signature in black ink, appearing to read "Michael J. Juneau", is written over a horizontal line.

MICHAEL J. JUNEAU
UNITED STATES DISTRICT JUDGE